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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/509,668	01/04/2005	Jacopo Zanon	407-US-PCT	9567

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LUNDBECK RESEARCH USA, INC.  
ATTENTION: STEPHEN G. KALINCHAK, LEGAL  
215 COLLEGE ROAD  
PARAMUS, NJ 07652

EXAMINER
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O DELL, DAVID K

ART UNIT	PAPER NUMBER
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1625

MAIL DATE	DELIVERY MODE
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09/28/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

**Application No.**

10/509,668

**Applicant(s)**

ZANON ET AL.

**Examiner**

David K. O'Dell

**Art Unit**

1625

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 03 June 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>See Continuation Sheet</u> | 6) <input type="checkbox"/> Other: _____  |

Continuation of Attachment(s) 3). Information Disclosure Statement(s) (PTO/SB/08), Paper No(s)/Mail Date :30 November 2004 & 27 September 2004.

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### **DETAILED ACTION**

1. Claims 1-20 are pending in the current application.
2. This application is a 371 of PCT/DK03/00208 filed 03/26/2003 which claims benefit of U.S. Provisional 60/368,434 filed 03/27/2002, and Danish application, PA 2002 00480 filed 03/27/2002.

#### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claims 1-2 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The claims recite "an anion which does not interfere in an unfavorable way with the reaction". What does this mean? The language renders the scope of this claim unclear. Can an anion interfere in a favorable way?

#### **Claim Rejections – 35 USC § 103**

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Perregaard et. al. *Journal of Medicinal Chemistry* **1992**, 35, 1092-1101 (cited on the IDS) AND Klapars et.

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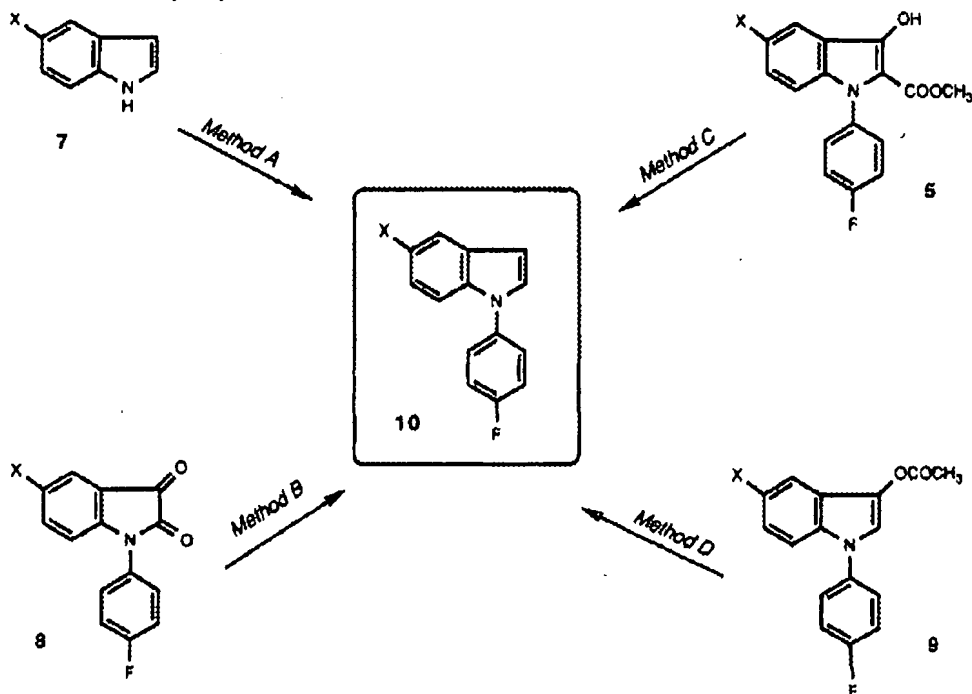
al. ” *Journal of the American Chemical Society* **2001**, 123, 7727-7729 (cited on IDS) OR Kang S.K. et. al. *Synlett* **2002**, 3, 427-430 (cited on the IDS) in further view of Sarges et. al. *Journal of Medicinal Chemistry* **1989**, 32, 437-44. The claims are drawn towards a copper catalyzed arylation of a particular indole, namely 5-chlorindole which is converted to 5-chloro-1-(4-fluorophenyl)indole. This compound is an intermediate in the synthesis of sertindole. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

**Determination of the scope and content of the prior art**

**(MPEP 2141.01)**

Perregaard et. al. teach the synthesis of the compound of the instant case, 5-chloro-1-(4-fluorophenyl)indole, via four different methods. This is graphically represented in his scheme II, shown below:

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**Scheme II. Syntheses of 1-(4-Fluorophenyl)-1H-indoles (10)**

Perregaard goes on to say that the copper catalyzed arylation is the preferred method of making these compounds (this is his method A):

“Literature procedures, albeit very rare, for the preparation of 1-phenylindoles either involve copper-catalyzed Ullmann arylation with aryl halides or nucleophilic aromatic substitution<sup>23</sup> of corresponding fluorobenzenes by 1-unsubstituted indoles. **The Ullmann arylation procedure (method A, Scheme 11) was preferred when 1-unsubstituted indoles (7) were either commercially available at reasonable costs and quantities or if they could be conveniently prepared according to known methods.** The 5-unsubstituted (10a), 5-NO<sub>2</sub> (10b), 5-CN (10c), and 5-F (10d) 1-(4-fluorophenyl)-1H-indoles are prepared accordingly (Table 11)..... The 5CF<sub>3</sub> (10f), 5-methylsulfonyl (10g), and 5-Chloro (10h) compounds were synthesized by method C (Table 11).

**Table II. 1-(4-Fluorophenyl)-1*H*-indoles (10)**

compd	X	method <sup>a</sup>	mp, °C	formula <sup>b</sup>
10a	H	A	40	C <sub>14</sub> H <sub>10</sub> FN
10b	NO <sub>2</sub>	A	144–145	C <sub>14</sub> H <sub>9</sub> FN <sub>2</sub> O <sub>2</sub>
10c	CN	A	110–112	C <sub>15</sub> H <sub>9</sub> FN <sub>2</sub>
10d	F	A or B	oil <sup>c</sup>	
10e	CH <sub>3</sub>	B	oil <sup>c</sup>	
10f	CF <sub>3</sub>	C	53	C <sub>15</sub> H <sub>10</sub> F <sub>4</sub> N
10g	CH <sub>3</sub> SO <sub>2</sub>	C	126	C <sub>15</sub> H <sub>12</sub> FNO <sub>2</sub> S
10h	Cl	C or D	86–87	C <sub>14</sub> H <sub>9</sub> ClFN
10i	OCH <sub>3</sub>	D	96	C <sub>15</sub> H <sub>12</sub> FNO
10j	Br	D	101	C <sub>14</sub> H <sub>9</sub> BrFN

<sup>a</sup> See Scheme II and Experimental Section for reaction conditions. <sup>b</sup> Microanalyses (C, H, N) were within  $\pm 0.4\%$  of the theoretical values. <sup>c</sup> <sup>1</sup>H NMR spectra are reported in the Experimental Section for compounds which were obtained as an oil.

Klapars who worked in the Buchwald group at MIT developed milder conditions for the arylation of indoles via the Cu salt catalyzed reaction, with various diamine ligands of the instant claims. The paper of Klapars summarizes it this way:

“While the importance of such reactions cannot be overstated, the necessity to use high temperatures, highly polar solvents, and often large amounts of copper reagents have prevented these reactions from being employed to their full potential. We have previously disclosed Ullmann-type methodology for the N-arylation of imidazoles<sup>11</sup> and for the formation of diaryl ethers.<sup>12</sup> Both of these used 1,10-phenanthroline/(CuOTf), benzene with various additives. This led us to examine the efficiency of other chelating nitrogen ligands in copper-catalyzed carbon-heteroatom bond forming processes. We show here that the combination of air stable CuI and racemic trans-1,2- cyclohexanediamine (1a) in the presence of K<sub>3</sub>PO<sub>4</sub>, K<sub>2</sub>CO<sub>3</sub>, Cs<sub>2</sub>CO<sub>3</sub>, or NaOt-Bu comprises an extremely efficient and general catalyst system for the N-amidation of aryl and heteroaryl iodides and bromides and the N-arylation of a number of heterocycles.” (conclusions)

Kang et. al. teaches the use of several other diamines in reactions of this type including EDTA.

**Ascertainment of the difference between the prior art and the claims**

(MPEP 2141.02)

The compound of the instant case (compound 10f of Perregaard et. al.) was prepared by method C or D, as per table II. Perregaard did not prepare the particular indole by his method A (the Ullman arylation that of the instant case). The instant process differs from that of Klapars or Kang, in that they don't prepare the particular indole recited here, although they teach exactly the same reaction conditions.

**Finding of prima facie obviousness*****Rational and Motivation***

(MPEP 2142-2143)

It would have been obvious to one of ordinary skill in the art at the time the claimed invention was made to use the process of Klapars (that of the Buchwald group) OR Kang to produce the instant invention. The experienced process chemist, would be motivated to use this method because it is the preferred method, gives higher yields under milder conditions, and leads to an important intermediate in the manufacture of a drug. Perregaard states that "The Ullmann arylation procedure (method A, Scheme 11) was preferred" and his work is very nearly anticipatory for some of the claims of the instant case. In fact far before this, Sarges et. al. suggested that the Ullmann arylation as a preferred method for the synthesis of 1-arylindoles:

"A more attractive and general route to 1-aryloxindoles, which avoided the formation of positional isomers, **involved the preparation of aryloindoles B by a modified Ullmann reaction of indole with substituted aryl iodides or bromides in the presence of cuprous bromide and sodium carbonate in refluxing N-methyl-2-pyrrolidinone** and subsequent conversion with N-chlorosuccinimide and H<sub>3</sub>PO<sub>4</sub>/acetic acid. 11" (pg. 438 column 2) Sarges et. al. *Journal of Medicinal Chemistry* **1989**, 32, 437-444.

In fact these workers simply rediscovered a very ancient reaction (perhaps uncredited, where the benzofused analog of indole was arylated) Dunlop, Helen G.; Tucker, S. Horwood. "Attempts to prepare optically active trivalent nitrogen compounds. I. Syntheses of 1,9-phenylenecarbazole and derivatives." *Journal of the Chemical Society* **1939**, 1945-1956.



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**9-Phenylcarbazole.**—A mixture of carbazole (5 g.), iodobenzene (12 g.), anhydrous potassium carbonate (5 g.), and copper bronze (0.3 g.) was heated at 190—200° for 6 hours. After cooling, the product was washed with warm water, and the residue crystallised three times from alcohol, forming colourless crystals (4.5 g.), m. p. 91—93° (yield, 65%) (Found: C, 88.7; H, 5.6; N, 5.55. Calc.: C, 88.9; H, 5.35; N, 5.8%). Cassella (D.R.-P. 224,951) gives m. p. 82—84°; Eckert, Seidel, and Endler (*J. pr. Chem.*, 1922, 104, 87) give m. p. 87—89°; *Organic Syntheses*, 1928, 8, 119, gives m. p. 88—89° and 88% yield. The *picrate* formed scarlet needles, m. p. 126—129° (Found: C, 60.9; H, 3.6; N, 11.8.  $C_{18}H_{13}N.C_6H_3O_7N_3$  requires C, 61.0; H, 3.4; N, 11.9%).

where the authors stated: "The effect of the addition of copper on the condensation of carbazole (+ potassium carbonate) with compounds of the formula 1-chloro-2-nitro-4-R-benzene remarkable."

1948

*Dunlop and Tucker: Attempts to prepare*

R.	Temp.	Time (hrs.).	Yield (%).	
			Without Cu.	With Cu.
H .....	240—250°	3	10	50—60
Me .....	220—230	3	10	35
Cl .....	220—230	3	0	35
	230—240	7	10	—
NO <sub>2</sub> .....	170—180	12	50	50
CN .....	180—190	12	40	15

Similarly for carbazole (+ potassium carbonate) and the following three substances:

<i>p</i> -Iodotoluene .....	180—200	6	40	60
<i>p</i> -Chloriodobenzene .....	200	6	17	70
Ethyl <i>p</i> -iodobenzoate .....	220—230	6	0	80

In addition, Klapar suggests that this is an important route (especially since the instant case substrate, 5-chlorindole, has the electronic characteristics described):

"The nucleophilic aromatic substitution of aryl halides, activated by electron-withdrawing substituents, with indole represent an alternate route to N-arylindoles for some substrate combinations."<sup>7</sup> Klapars et. al. *ibid*.

The applicant is using the process, just as Perregard recommends to make an important drug intermediate. A reference is good not only for what it teaches by direct anticipation but also for what one of ordinary skill in the art might reasonably infer from the teachings. (*In re Opprecht* 12 USPQ 2d 1235, 1236 (Fed Cir. 1989); *In re Bode* 193 USPQ 12 (CCPA) 1976). In light of the forgoing discussion, the Examiner concludes that the subject matter defined by the instant claims would have been obvious within the meaning of 35 USC 103(a). From the teachings of the references, it is apparent that one of ordinary skill in the art would have had a reasonable expectation of success in producing the claimed invention. Therefore, the invention as

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a whole was *prima facie* obvious to one of ordinary skill in the art at the time the invention was made, as evidenced by the references, especially in the absence of evidence to the contrary.

One of ordinary skill is also one of “ordinary creativity, not an automaton”. See *Leapfrog Enterprises Inc. v. Fisher-Price. and Mattel Inc.* UNITED STATES COURT OF APPEALS FOR THE FEDERAL CIRCUIT “An obviousness determination is not the result of a rigid formula disassociated from the consideration of the facts of a case. Indeed, the common sense of those skilled in the art demonstrates why some combinations would have been obvious where others would not. See *KSR Int'l Co. v. Teleflex Inc.*, 550 U.S. , 2007 U.S. LEXIS 4745, 2007 WL 1237837, at 12 (2007) (“The combination of familiar elements according to known methods is likely to be obvious when it does no more than yield predictable results.”).

The opinion set forth in *In re Larsen* (CCPA 1961) 292 F2d 531, 130 USPQ 209 is relevant:

A case in point is *Wirebounds Patents Co. et al. v. H.R. Gibbons Box Co.*, 25 F.2d 363 (CCA 7th Circuit). In holding the method claims there involved unpatentable, the court said: Moreover, the method patent contains nothing but the natural and obvious method of producing the box. It cannot be considered invention to describe and claim a process, or to produce a machine, or formulate a method which any successful mechanic would produce when required to effectuate a given result. The process claims define, in effect, only the reaction of A with B to produce AB, the reaction admittedly being old except for the selection of A and B from the mass of known materials available. Though they point out novel subject matter, these claims, tested against the prior art, do not define anything unobvious to one of ordinary skill in this art.

This art is chemistry. Were we in a mechanical art, **I think no one would trouble to argue that every time a new tool or machine is invented one can obtain process claims directed to nothing more than the obvious steps of selecting the materials, forming the parts on suitable machines, and assembling them in their operative relationship. I can see no distinction in principle here.** Yet that is what applicant contends in advancing in his conclusion. (emphasis added)

As pointed out in *In re O'Farrell*, 7 USPQ2d 1673 (Fed. Cir. 1988) “For obviousness under §103, all that is required is a reasonable expectation of success.”

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It is therefore submitted that the claims are properly rejected as unpatentable over what is already known in the art, and that they recite no more than the obvious application of an old reaction.

*Conclusion*

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to David K. O'Dell whose telephone number is (571) 272-9071. The examiner can normally be reached on Mon-Fri 7:30 A.M.-5:00 P.M EST.

6. If attempts to reach the examiner by telephone are unsuccessful, the examiner's Primary examiner, Rita Desai can be reached on (571)272-0684. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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PRIMARY EXAMINER *RDesai*  
9/26/07